

10/90/90



Please type a plus sign (+) inside this box

+

6-7-01 A

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 03317-P0016A

First Inventor Bin Li, et al.

Title System For Trading Financial Assets Using

Express Mail Label No. EL 574 211 473 US

S-15419 PTC

JC 003 U 8/09/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original, and a duplicate for fee processing)*
2.  Applicant claims small entity status  
See 37 CFR 1.27.
3.  Specification [Total Pages 21]  
*(preferred arrangement set forth below)*
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings *(if filed)*
  - Detailed Description
  - Claims(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) [Total Sheets 4]  
[Total Pages 3]
5. Oath or Declaration
- a.  New executed (original or copy)
- b.  Copy from prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 18 completed)*
- i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventors(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
- a.  Computer Readable Form (CRF)
- b.: Specification Sequence Listing on:
- i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement *(when there is an assignee)*  Power of Attorney
11.  English Translation Document *(if applicable)*
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 of its equivalent.
17.  Other.....

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part

of prior application No.:

Prior application information: Examiner Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS** Customer Number of Bar Code Label 24126  Correspondence address below*(Insert Customer No. or Attach bar code label here)*

Name	Wesley W. Whitmyer, Jr.		
Address	St. Onge Steward Johnston & Reens LLC 986 Bedford Street		
City	Stamford	State	CT
Country	United States	Telephone	Zip Code
	203 324-6155		06905-5619
		Fax	203 327-1096

Name (Print/Type) Wesley W. Whitmyer, Jr. Registration No. (Attorney/Agent) 33,558

Signature  Date 06/6/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Times will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OF COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 476.00)

## Complete if Known

Application No.	- Pending
Filing Date	June 6, 2001
First Named Inventor	Bin Li, et al.
Examiner Name	
Group Art Unit	

Attorney Docket Number 03317-P0016A WWW/DC

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:
- |                        |                                      |
|------------------------|--------------------------------------|
| Deposit Account Number | 19-4516                              |
| Deposit Account Name   | St.Onge Steward Johnston & Reens LLC |
- Charge Any Additional Fee Required Under CFR 1.16 and 1.17  
 Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:

- Check     Credit Card     Money Order     Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355 Utility filing fee	355.00
106	320	206	160 Design filing fee	
107	490	207	245 Plant filing fee	
108	710	208	355 Reissue filing fee	
114	150	214	75 Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>				<b>355.00</b>

## 2. EXTRA CLAIMS FEES

Total Claims	Independent Claims	Extra Claims	Fee from Below	Fee Paid
29	-20**=	9	X 9	= 81.00
3	-3***=	3	X 0	= 0.00
		0	X 0	= 0.00
<b>SUBTOTAL (2) (\$)</b>				<b>81.00</b>

Multiple Dependent Large Entity Fee Code (\$)

103 18 203 9 Claims in excess of 20  
102 80 202 40 Independent claims in excess of 3  
104 270 204 135 Multiple dependent claims, if not paid  
109 80 209 40 \*\* Reissue independent claims over original patent  
110 18 210 9 \*\* Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 Surcharge – late filing for or oath	
127	50	227 Surcharge – late provisional filing or cover sheet	
139	130	139 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840 Requesting publication of SIR after Examiner Action	
115	110	215 Extension for reply within first month	
116	390	216 Extension for reply within second month	
117	890	217 Extension for reply within third month	
118	1,390	218 Extension for reply within fourth month	
128	1,890	228 Extension for reply within fifth month	
119	310	219 Notice of Appeal	
120	310	220 Filing a brief in support of an appeal	
121	270	221 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 Petition to revive – unavoidable	
141	1,240	241 Petition to revive – unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 Design issue fee	
144	600	244 Plant issue fee	
122	130	122 Petitions to the Commissioner	
123	50	123 Processing fee under 37 CFR 1.17(q)	
126	240	126 Submission of Informational Disclosure Stmt	
581	40	581 40 Recording each patent assignment per Property (times number of properties)	40.00
146	710	246 Filing a submission after final rejection (37CFR § 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

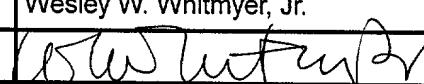
\* Reduced by Basic Filing Fee paid

SUBTOTAL (3) (\$)

40.00

SUBMITTED BY St.Onge Steward Johnston &amp; Reens LLC

Complete (if applicable)

Name (Print Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558	Telephone	203 324-6155
Signature				Date	06/6/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038 Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.